

98-2

CERTIFICATION

I certify that the remaining funds for MULLERA # 98 were paid to [REDACTED]. The funds are to be used, in paying final report typing expenses. ^B

Since this payment was made, the [REDACTED] spending mechanism has been terminated. We are therefore unable to obtain a detailed account from [REDACTED]. It is my opinion that these funds have been spent by MULLERA # 98 in the completion of his research and in accordance with the grant approval.

A copy of the [REDACTED] cancelled check is on file in TSD/BF.

TSD/BF

APPROVED:

SIDNEY GOTTAGE
C/TSD

November 17, 1966

Memorandum for: Chief, TSD/BF

Subject: Dr. [REDACTED] Research Grant

1. In May 1965, the remaining balance of Dr. [REDACTED]'s grant, that had previously been administered by the [REDACTED] of \$156.37 was sent to the [REDACTED] at Dr. [REDACTED]'s request. This sum was to be held by them to cover typing costs on his project when it was completed.

2. Attached is a copy of the covering letter and the check that was sent to [REDACTED].

3. [REDACTED] is not longer an entity as of June 1966 and, therefore, cannot request further accountings.

4. If further information is desired, we will be happy to furnish it.



[REDACTED]



It is hereby certified that \$156.37 was correctly paid to [REDACTED].

[REDACTED]

May 3, 1965

 B
Gentlemen:

Enclosed please find  s check in the amount of \$156.37 which represents a balance of grant made to Dr.  from this organization.

C
Dr.  of your  has asked us to forward this sum to you to hold in his name for expenses that will be incurred in the completion of his work on the grant.

Thank you for your cooperation in this matter. We would appreciate your forwarding an accounting of this sum when it is spent.

Sincerely,

C

Treasurer

C

cc: Dr. 

INSTRUCTIONS

Line or
Section

1. Enter on line 1 the amount of cash on hand at the beginning of the period.
2. Enter on line 2 the amount of outstanding advances made to third parties, brought forward from the previous accounting period.
3. Enter in this section the amount of each receipt during the accounting period showing pertinent data, i.e., method or source of acquisition and applicable rate of exchange, if indigenous currency. If more space is required to explain receipts, prepare receipt form, number and attach hereto. In every case, completely identify the source of receipts.
4. Enter on this line the amount to be accounted for which shall be the sum of amounts shown in 1, 2, and 3.
5. Each amount listed in this section shall be supported by a voucher consisting of either the receipt obtained from the payee or in lieu thereof a certification explaining the lack of a receipt. If the number of entries exceeds the available space they may be consolidated as one entry in section 5 and supported by a listing of the individual entries on a separate sheet.
6. Enter on this line the amount of any refunds of advances by the advancee indicating whether by cash, check, or money order.
7. Advances made to third parties which remain outstanding at the end of the accounting period shall be consolidated and the total entered as a single amount on this line supported by a listing on a separate sheet. Final credit will not be given for disbursements which are advances to be accounted for. When accountings for advances are obtained, list as expenses or refunds of cash, as appropriate.
8. Enter on this line the amount of cash on hand, or if the amount of the disbursements exceeds the amount advanced the balance due the advancee shall be shown in parenthesis, i.e. (), and treated as a minus amount in arriving at the "Total Accounted For", line 9.
9. Reflect on this line the "Total Accounted For" which must agree with the amount shown on line 4, "Total To Account For".

98-5

16 November 1966

MEMORANDUM FOR : Chief, T&D/BAB

ATTENTION :

SUBJECT :

[REDACTED] C

Dr. [REDACTED] H

Research grant

1. The [REDACTED] grant status report for the period April/June 1965 reflects disbursement of \$156.37 to Dr. [REDACTED] C

2. It is requested that an accounting be obtained from Dr. [REDACTED] C for this grant.

[REDACTED]
Chief, T&D/BAB A

Distribution:

Original & 1 - Addressee

MRK:etm 95

98-6

20 October 1965

MEMORANDUM FOR : Certification and Liaison Division,
Covert Claims Branch

SUBJECT : HQUERA Subproject 93

1. This project was approved, under the authority granted in the memorandum dated 13 April 1963 from the DAI to the HQ/A (H/S). The project was approved on 11 August 1969 in the amount of \$9,735.00.

2. Review of internal TEB records indicate that only one funding (\$9,735.00) has been made to [redacted] for this project. Further that [redacted] has passed to and received an accounting from the grantee in the amount of \$9,978.63. This accounting which was recorded on your voucher No. 445831, reflects unused grant funds in the amount of \$156.37. H

3. From a perusal of the myriad of Vouchers which touch on the many HQUERA subprojects it appears that the entry made on your voucher No. 352331 is a duplication of other entries affecting this account.

4. As of 30 September 1965 the 760.0 account Subsidiary Ledger reflects an outstanding balance for subproject 93 of \$4,927.03. This amount is over stated and should be adjusted to reflect the correct outstanding balance of \$156.37 as stated on the grantee's last accounting.

[redacted] A
Chief, TEB/S9

Distribution:
Original & 1 - Addressee

98-7

11/11/4 - 98 \$156.37

| | | | | | |
|---------|--------|---------|---------|--------|--------|
| 3579531 | 150 | 160 | 199 | 6010 | 147.9 |
| 405110 | 492062 | | 149703 | 192703 | 40703 |
| 4164025 | 597863 | | 597863 | 270549 | 270549 |
| 435165 | 360000 | | 360000 | 270549 | 270549 |
| 445881 | 957863 | | 957863 | 270549 | 270549 |
| 453131 | 270549 | 200000 | 957863 | 270549 | 270549 |
| | 305713 | 597863 | | | |
| | 492703 | 1492703 | | | |
| | 457863 | 157863 | | | |
| | 0 | 492713 | 1492703 | 552703 | 252703 |

INSTRUCTIONS

1. If funds, in the form of other than U.S. Dollars were on hand, received, or disbursed during the accounting period, all pertinent data, i.e., rate, method of acquisition, etc., must be shown. If advances have been made to third parties, enter the total of such advances outstanding at the beginning of the accounting period on line 1a.
2. If more space is required to explain receipts, prepare receipt form, number and attach hereto. In every case, completely identify the source of receipts.
3. Attach a voucher for each expenditure and assign a number thereto in numerical sequence. The voucher may be the receipt obtained from the payee. When a receipt is not obtained, prepare a certificate and attach as a voucher. When space on form is not sufficient to list all vouchers, prepare a listing on a separate sheet and enter the total under item 3. If advances to third parties are outstanding at the close of the accounting period, attach an itemized list and enter the total on line 3a.
4. Final credit will not be given for disbursements which are advances to be accounted for. When accounting for advances are obtained, list as expenditures or refund of cash, as appropriate.
5. Total receipts entered on the line "Total to Account For" must agree with the total disbursements entered on the line following "Total Accounted For."

00 98-9

September 12, 1963

Dear [REDACTED] C

Enclosed please find the accounting for [REDACTED] from [REDACTED] B which shows a 0 balance. This should close that old one.

I have written to [REDACTED] C for an accounting of the last 2 years on the \$30,000 grant to [REDACTED] B

Enclosed is an accounting on [REDACTED] C which I have made up since I had all his records and made the payments for him. He may use the balance up in some small expenditures which he has not yet requested reimbursement for so please don't close this one out.

Enclosed also is a copy of a letter from [REDACTED] C which you can put in his file. He is still spending our grant money and won't account until it is all gone.

Best personal regards.

[REDACTED] C

September 12, 1963

C
Grant to Dr. [REDACTED] 1959 in the amount of \$9,735.00

Expenditures;

Equipment \$ 284.60

Research Assistants 1,566.50

Principal Investigator Fees 7,350.00

Fees for library access,
Supplies and Books. 377.53

Total Expended to date 9,578.63

Balance in account \$ 156.37

B The above expenditures were made by the Fund, only direct payments.
[REDACTED], therefore, controlled the finances and kept the
records of payments. I certify that these are true expenditures
from Dr. [REDACTED] grant.
C [REDACTED] C

I certify that no other or materials have been
satisfactorily provided and all expenditures
were incurred in official business.

[REDACTED] A
Date: Jan 15, 1964

98-10

September 18, 1959

MEMORANDUM FOR THE RECORD: C

SUBJECT: Dr. [REDACTED] Project - Financial Arrangements

This memorandum will confirm the verbal discussion between Dr. [REDACTED] and Dr. [REDACTED] regarding financial arrangements agreed upon at the present time. C

1. Miss [REDACTED] will become [REDACTED] employee on the date that Dr. [REDACTED] notifies us. Miss [REDACTED] will be paid on the basis of \$5,000.00 a year on half time basis. This will be paid in monthly installments and is subject to the withholding taxes and social security. Miss [REDACTED] is entitled to [REDACTED] C
as a regular employee of [REDACTED]. She may elect to become a member of [REDACTED] B
[REDACTED] if she so desires.

2. Payment will be made promptly of any vouchers submitted by Dr. [REDACTED] for expenses incurred for his project. C
3. Dr. [REDACTED] will investigate suitable equipment for copy work in libraries and will notify [REDACTED] the type he feels most satisfactory. At that time it will be decided whether [REDACTED] will purchase this equipment for Dr. [REDACTED] his budget funds or whether [REDACTED] C
[REDACTED] will purchase the equipment and loan it to Dr. [REDACTED] B

Other than the above conditions, [REDACTED] will wait until [REDACTED] B
[REDACTED] makes further plans after the first of the year before making other financial payments. E

[REDACTED] C

98-12
26 August 1959

MEMORANDUM FOR: CHIEF, FINANCE DIVISION

VIA : TSS/Budget Officer

SUBJECT : MURKIN, Subproject 08, Invoice No. 1
Allotment 0505-1009-4932

1. Invoice No. 1 is attached covering the above subproject.
Payment should be made as follows:

Consider's Check in the amount of \$9,735.00 drawn on
[redacted] payable to [redacted] B

2. Please forward the check to Chief, TSS/Chemical Division
through TSS/Budget Officer by Tuesday, 8 September 1959.

3. This is a final invoice. However, since it is anticipated
that additional funds will be obligated for this project, the files
should not be closed.

[redacted] D
Chief
TSS/Chemical Division

Attachment
Invoice & Certifications

Distribution:
Orig & 2 - All requests
✓ 1 - TSS/FCB

1 COPY FOR [redacted]
2 COPIES FOR [redacted]
3 COPIES FOR [redacted] 375
0505-1009-4932

[redacted] E
BRIEF 6 356/2 9/12/59
[redacted] C
[redacted]

26 August 1959

MEMORANDUM FOR: CHIEF, FINANCE DIVISION

VIA : TSS/Budget Officer

SUBJECT : FMS/44, Subproject 20, Invoice No. 1
Attachment 0925-1007-1502

1. Invoice No. 1 is attached covering the above subproject.
Payment should be made as follows:

Cashier's Check in the amount of \$2,735.00 drawn on
[redacted] payable to [redacted] B

2. Please forward the check to Chief, TSS/Chemical Division
through TSS/Budget Officer by Tuesday, 8 September 1959.

3. This is a final invoice. However, since it is anticipated
that additional funds will be obligated for this project, the files
should not be closed.

[redacted] A
Chief
TSS/Chemical Division

Attachment
Invoice & Certifications

Distribution:
Orig & 2 - Addressee
1 - TSS/ALB

2 - TSS/CD

TSS/CD, [redacted] (26 Aug 59)

A

INVOICE

For services

\$9,735.00

B

CERTIFICATIONS

(1) It is hereby certified that this is Invoice No. 1 applying to Subproject No. 93 of MCHMMA, that performance is satisfactory, that services are being accomplished in accordance with initial agreements, that a detailed agenda of the payments and receipts is on file in TSS/CD, that this bill is just and correct and that payment thereof has not yet been made.

Chief, TSS/Chemical Division

Date:

(2) It is hereby certified that this invoice applies to Subproject No. 97 of MCHMMA which was duly approved, and that the project is being carried out in accordance with the memorandum of 13 April 1953 from the DCI to the DD/A, and the extension of this authority in subsequent memoranda.

Research Director

Date:

R E C E I P T

Receipt is hereby acknowledged of the following:

Official Check No. 635642 in the amount of \$9,735.00, drawn on
payable to

Date: Sept 15, 1959


 98-13
6 August 1959

MEMORANDUM FOR: CONTROLLER


ATTENTION : Finance Division

SUBJECT : REGMTRA, Subproject 98

Under the authority granted in the Memorandum dated 13 April 1953 from the DCI to the RD/A, and the extension of this authority in subsequent memoranda, Subproject 98 has been approved and \$9,735.00 of the over-all Project REGMTRA funds have been obligated to cover the subproject's expenses and should be charged to Allotment 0525-1009-4902.


Chief
TSS/Chemical Division

APPROVED FOR OBLIGATION
OF FUNDS:


Research Director

Date: 

Distribution:

Orig & 2 - Addressee

- 1 - TSS/OC
- 1 - TSS/FASB
- 2 - TSS/CD

TSS/CD  (6 August 1959)

A



98-14
DRAFT A

6 August 1959

MEMORANDUM FOR: THE RECORD

SUBJECT : MKULTRA, Subproject 98

1. The purpose of Subproject 98 is to support Dr. [REDACTED] C
[REDACTED] research work in mass conversion as outlined
in the attached proposal. Material possessed by some of [REDACTED] B
[REDACTED] projects (e.g. [REDACTED] B
[REDACTED] and the data at [REDACTED] will be inte-
grated into one document tying together evaluations of change of
attitude, personality and behavior.

2. This project will be funded through [REDACTED] B
[REDACTED] for security and cover purposes
and the accountings for funds expended in it shall conform to the
established procedures of that organization. It is not anticipated
that any permanent equipment will be required for the project, but
should the occasion arise, it will become the property of the University
in lieu of higher overhead charges.


3. The total cost of this project for a period of two years
is estimated to be \$9,735.00 as indicated in the attached proposal.
Charges should be made against Allotment 0525-1009-4902.

Downgraded to: [REDACTED]
by authority of: 187475
date: June 1977

E3 IMPDET; CL BY 187475

96-1

4. No cleared or witting persons are concerned with the
conduct of this project.

 A
Chief
TSS/Chemical Division

APPROVED FOR OBLIGATION
OF FUNDS:



Research Director

Date:

8/11/59

Attached:
Proposal

Distribution:
Original only

Downgraded to: 
By authority of: 187475
Date: June 1977

E3 IMPDET; CL BY 187475

96-1

PROPOSAL FOR RESEARCH ON SOME ASPECTS OF MASS CONVERSION

Whether conversion on fundamental matters of ideology and morality can be achieved on a massive scale constitutes an important theoretical problem. Its practical import, moreover, is brought home when one considers its direct bearing on some seemingly adverse phenomena, such as transformations achieved in "therapeutic" groups, the "brainwashing" of American POWs in Korea, the appeal of modern mass evangelism, the enthusiasm aroused by some revolutionary mass movements, etc. But the collective aspects of mass conversion, it seems are not easily studied by the conventional experimental designs or statistical manipulation, which are often held up as the ideal in social research.

Concrete instances of apparent mass conversion can nevertheless be studied scientifically, if one approaches them indirectly by drawing on available findings of parallel phenomena. Many psychological and sociological studies having closely to standard methods of investigation contain findings whose relevance to the problem of "conversion" have rarely been considered systematically. It is proposed then, first, to extract some of the already available findings and, second, to apply them to case materials already collected. Apart from this effort towards synthesis on the basis of reports of mass phenomena, no steps aimed at independent validation of propositions are proposed.

Working Assumptions

To be fruitful this investigation must begin with an adequate definition of conversion and of the phenomena to be subsumed under this generic type.

As a working definition governing the research, the following is proposed: a conversion is a fundamental change (i.e. an about-face) concerning basic moral, religious, or political matters which lasts after the pressures which have induced it are removed.

This definition should allow one to relate "conversion" to attitude change, on the one hand, and personality change, on the other. Furthermore, the requirement that it be relatively permanent allows one to distinguish between conversion and many temporary outbursts of hysteria, etc. which have sometimes been taken as the essence of a conversion experience. A review of the relevant literature should help to refine the definition and perhaps permit also a distinction among several subtypes.

A second working assumption is to be made: mass conversion is a collective affair inasmuch as those influenced also influence one another. It is not simply a series of parallel changes that take place in a plurality of individuals under similar pressures. On the contrary, snowball-like effects are postulated.

Major Issues

The investigation shall deal with three distinct, though logically related, issues. Each of them can be put as a question:

- (1) Who is susceptible?
- (2) Under what conditions are changes effected?
- (3) What is the nature of the change?

As a preliminary to any attempt at synthesis, the literature must be reviewed for any clues concerning these three questions.

Re (1) the susceptibles: There is the issue of whether conversion rests, as James has held, upon the existence of a submerged side of the "divided" self which the experience or crisis merely brings to the fore. Can a person be converted in a direction not in line with predispositions, which may perhaps not be acknowledged by the person? There are also questions concerning the make-up of the susceptible personality. According to some, conversion is a reaction against authoritarian pressures experienced as alien; the convert rebels. Other scholars have held to the opposite view, namely that the lack of strong commitment is what makes for susceptibility.

Re (2) the conditions of conversion. An examination of the various kinds of pressures applied is prerequisite for an analysis of the situation in which new commitments are effected. Pressure, as used here, includes more than consciously planned manipulations to effect a change, i.e. the advance preparation, warm-up, and gimmickry which precede the appeal. To be considered also are the alternatives open to the individual, the impact of public images and the kind of support they appear to provide, and the effect of an act being defined by others as a conversion. The best that one can aim at in this regard is a "natural history" of the phenomenon. Theoretically it should be possible to spell out the necessary and sufficient conditions that impel or that limit change in any given direction. Here is also where case materials will be especially useful.

Re (3) the age-old question of whether a permanent change is achieved. It seems advisable to reformulate this question by inquiring as to what periodical changes remain once the pressures toward the new commitment are removed or eased. Does a permanent reorganization of beliefs require sustained group support? Or does the individual's enthusiastic and group enthusiastic experience a natural let-down once the initial excitement and the accompanying pressures wear off? Of course, there are not the only alternatives. Many anticipated reactions (designed to lessen conflict between ideologies abandoned and the new ones accepted) may leave a permanent residue.

Plan of Study

Step 1: Analysis of what has been typed as conversion in the past:

- (a) A specific, usually a religiously-typed, experience which signifies inner commitment to a cause. The recognition of such an experience as conversion involves "ascription" of a new role by others. But the distinction between crystallization of latent dispositions and an about-face is obscured in this conceptualization.
- (b) Defection from one religious, political, or national affiliation to another. Actually this need not be a new commitment inasmuch as the change may be made as a matter of opportunism and relates only to interests which are peripheral.
- (c) A change of outlook, whether sudden or dramatic or gradual, on a matter central to the personality. This kind of conversion appears essentially a matter of "resocialization." Basic values and highly patterned forms of behavior are affected.

Studies of "conversion" are to be evaluated in the light of these distinctions.

Step 2. Evaluation of individual cases of conversion, using the definition "c" above as a guide in selection of materials. This will mean the inclusion of asterisks which have often been omitted in discussions of conversion. Relevant autobiographical, clinical, and historical materials are to be reviewed. The main purpose of this review is to extract hypotheses and questions concerning the three questions: susceptibility to conversion, the events that provoked it, and the nature of the change.

Step 3. A review of techniques found effective in bringing about a basic change in social role. Relevant data are to be evaluated with regard to two questions: the personality types on whom they are most effective and the permanence of the changes produced.

The following techniques would appear to be most relevant here:

- (a) hypnosis and suggestion
- (b) therapy, the sustained mobilization of affect
- (c) "ascription," the magnification of change of status as a result of initiation exercises, specific experiences, etc. which legitimize the acceptance of a new role in the eyes of others.
- (d) persuasion, the susceptibility to rational argument by appeals to interests and dispositions in a person to some degree conscious of being the target of such appeals
- (e) enforced isolation, individual confinement, and all techniques whereby persuasion and information can be made homogeneous and monopolized, minimizing any competing influences
- (f) stress, sanction, and the threat of severe punishment--all of which tend to change the reward structure.

Step 4. Analysis of conversion in a group context. The emphasis is to be on the collective influences which operate to define the roles of individuals vis-a-vis one another and give rise to new group identities. Below are some subject areas with examples:

- (a) Group therapy. Classical group therapy; AA and the Society of Reformed Drunkards in the 1840s; New York City Youth Board activities.
- (b) Recruitment into the active cell or the nucleus of the sect. Political and religious sects and other "natural" microcosms.
- (c) Group influences during forced detainment. Prisoners of war, concentration camp, and the *Ewergemeinschaft*.
- (d) Changes in social environment due to geographical movement. The "resocialization" of the immigrant or migrant in response to a voluntary change in his cultural environment without necessary prior motivation to abandon his old commitments.
- (e) Changes in response to organized campaigns and pageantry in which mass emotions are mobilized around new symbols. Revivalism (especially Billy Graham Crusade), political spectacles, etc.
- (f) Change during a period of political instability when class structure and style of life are fundamentally affected. Changes in life conditions which affect the total society.

Step 5. Synthesis

The diverse materials covered and the generalizations to be derived are to focus on the three basic problems outlined for investigation. To repeat, the study should permit some clarification, for example, of the rather crude hypothesis that some kind of inner discord precipitates conversion always. A second hypothesis, also in rather broad form, holds that the critical situation in which pressure is applied must always entail a narrowing of alternatives and the promise of conflict resolution. Such a proposition needs, above all, clarification. Finally, it has been contended that the only guarantee for a convert's permanence are accompanying supportive changes in the convert's immediate social environment. Just what the nature of such support is also might be clarified.

Another problem to be touched upon concerns the "interchangeability" of susceptibles. Are the various kinds of political, social, religious commitments really equivalent? Again this survey should enable us to pinpoint more precisely areas of investigation in need of more intensive study.

Time Schedule and Costs

Preliminary work is to commence in the summer of 1959. Unfortunately there appears practically no chance that either Dr. [REDACTED] or I can get any kind of leave or reduced teaching load during the latter half of 1959. During this period, a research assistant (with an equivalent of a masters' degree) could get started with bibliographical work and abstracting of literature. During the next semesters, either one of us (or both) will seek a half-time reduction in teaching load to speed along the project. C

A two-year period is envisioned as necessary to complete this analysis.

Support of self (or Dr. [REDACTED])
to get reduction of teaching
load at \$500 per annum
3 semesters of half-time \$1875 C

Research assistant for one year
at half-time, \$5000 per annum \$2500

Travel to consult sources and
inspect data or consult with
investigators \$ 500

Miscellaneous Research Expenses
Library privileges \$ 225
Supplies \$ 150
Purchase of materials,
reports, etc. \$ 100
\$ 475

Typing of manuscript and
drafts \$ 500
\$850

10 per cent for unexpected
contingencies 885
\$9735

[REDACTED] c/B

WARNING NOTICE
SENSITIVE INTELLIGENCE
SOURCES AND METHODS INVOLVED

98-2

98-16

B

98

May 12, 1952

MEMORANDUM TO: The Directors

SUBJECT: Project Proposal, Category B - By Dr. [REDACTED]

The enclosed proposal was submitted in order to take advantage of a personal talent and interest on the part of the Principal Investigator. An attempt will be made to integrate so no data are saved by them, resulting in the hands of some of [REDACTED] projects. [REDACTED] and [REDACTED] data of [REDACTED] into one document tying together evaluations of change of attitude, personality and behavior. B

While the "research" involved in this proposal is largely of a literary nature, it is felt that an attempt to conceptualize these phenomena in a broader context will be useful for programming and planning for the Society in the future. The only considerable work of which we are aware at the present time is being conducted by Dr. [REDACTED] and will be taken into account as this study progresses. B

[REDACTED]
Executive Secretary